


01/04/02  
Jc796 U.S. PTO

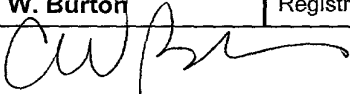
01-09-02

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<b>UTILITY PATENT APPLICATION TRANSMITTAL</b>	Attorney Docket No.	FUJ 99228 CON
	First Inventor	Katsuyoshi MATSUURA
	Date Filed:	JANUARY 4, 2002
	Express Mail Label No.	EL523797895US

1036 U.S. PTO  
10/04/02

<b>APPLICATION ELEMENTS</b>	Assistant Commissioner for Patents Box Patent Application Washington, DC 20231
<p>1. <input checked="" type="checkbox"/> Fee Transmittal Form</p> <p>2. <input checked="" type="checkbox"/> Specification [ <b>43 pages</b> ]</p> <ul style="list-style-type: none"> <li>- Descriptive title of the Invention</li> <li>- Cross References to Related Applications</li> <li>- Statement Regarding Fed sponsored R&amp;D</li> <li>- Reference to Microfiche Appendix</li> <li>- Background of the Invention</li> <li>- Brief Summary of the Invention</li> <li>- Brief Description of the Drawings</li> <li>- Detailed Description</li> <li>- Claim(s)</li> <li>- Abstract of the Disclosure</li> </ul> <p>3. <input checked="" type="checkbox"/> Drawings(g) [ <b>25 sheets</b> ]</p> <p>4. <input checked="" type="checkbox"/> Oath or Declaration</p> <p>a. <input type="checkbox"/> Newly executed (original or copy)</p> <p>b. <input checked="" type="checkbox"/> Copy from prior appl. (37 C.F.R. § 1.63(d))</p> <p>i. <input type="checkbox"/> <b>DELETION OF INVENTOR(S)</b> Signed statement attached deleting inventor(s) named in prior application, see 37 C.F.R. §§ 1.63(d)(2) and 1.33(b).</p>	<p>5. <input type="checkbox"/> Microfiche Computer Program (Appendix)</p> <p>6. Nucleotide/Amino Acid Sequence (if applicable)</p> <p>a. <input type="checkbox"/> Computer Readable Copy</p> <p>b. <input type="checkbox"/> Paper Copy (identical to computer copy)</p> <p>c. <input type="checkbox"/> Statement verifying identity of said copies</p>
<b>ACCOMPANYING APPLICATION PARTS</b>	
<p>7. <input type="checkbox"/> Assignment Papers (cover sheet/document(s))</p> <p>8. <input type="checkbox"/> 37 C.F.R. § 3.73(b) Statemt <input type="checkbox"/> Power of Attorney (when there is an assignee)</p> <p>9. <input type="checkbox"/> English Translation</p> <p>10. <input checked="" type="checkbox"/> IDS &amp; Form 1449 <input type="checkbox"/> Copies of IDS Citations</p> <p>11. <input checked="" type="checkbox"/> Preliminary Amendment</p> <p>12. <input checked="" type="checkbox"/> Return Receipt Postcard (MPEP 503)</p> <p>13. <input type="checkbox"/> Small Entity <input type="checkbox"/> Statement filed in prior application—Status still proper and desired</p> <p>14. <input type="checkbox"/> Certified Copy of Priority Document(s)</p> <p>15. <input type="checkbox"/> Other: Check for \$1034.00</p>	
<p><b>*NOTE FOR ITEMS 1 &amp; 13: IN ORDER TO BE ENTITLED TO PAY SMALL ENTITY FEES, A SMALL ENTITY STATEMENT IS REQUIRED (37 C.F.R. § 1.27), EXCEPT IF ONE FILED IN A PRIOR APPLICATION IS RELIED UPON (37 C.F.R. § 1.29).</b></p>	
<p><b>16. If a CONTINUING APPLICATION,</b></p> <p><input checked="" type="checkbox"/> Continuation <input type="checkbox"/> Divisional <input type="checkbox"/> Continuation-in-part of prior App. No. 09/551,233 filed April 17, 2000, which was a Continuation-in-part of 09/429,984, filed Oct. 29, 1999.</p> <p>FOR CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 4b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation <u>can only</u> be relied upon when a portion has been inadvertently omitted from the submitted application parts.</p>	
<b>17. CORRESPONDENCE ADDRESS</b>	
<p><input checked="" type="checkbox"/> Customer Number of Bar Code Label  or <input type="checkbox"/> Correspondence address below</p>	
Name	25235
PATENT TRADEMARK OFFICE	
Address	
City	State Zip
Country	Telephone Fax

Name (Print/Type)	Carol W. Burton	Registration No.	35,465
(Signature)		Date	January 4, 2002

# FEE TRANSMITTAL for FY 2002

## Complete if Known

Application Number	
Filing Date	JANUARY 4, 2002
First Named Inventor	Katsuyoshi MATSUURA
Examiner Name	
Group / Art Unit	
Attorney Docket No.	FUJ99228 CON

☐ Applicant claims small entity status. See 37 CFR 1.27

**TOTAL AMOUNT OF PAYMENT (\$)** 1034.00

### METHOD OF PAYMENT (check all that apply)

☒ check ☐ credit card ☐ money order ☐ other ☐ none  
☐ Deposit Account

Deposit Account Number 50-1123

Deposit Account Name Hogan & Hartson L.L.P.

The Commissioner is hereby authorized to: (check all that apply)

☐ Charge fee(s) indicated below ☒ Credit any overpayments  
☒ Charge any additional fee(s) for this filing  
☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account

### FEE CALCULATION

#### 1. BASIC FILING FEE

Large Entity Fee (\$)	Small Entity Fee (\$)	Fee Description	Fee Paid
740	370	Utility Filing Fee	740.00
330	165	Design filing fee	
510	255	Plant filing fee	
740	370	Reissue filing fee	
160	80	Provisional filing fee	

**SUBTOTAL (1)** \$740.00

#### 2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

		Extra Claims		Fee from below	=	Fee Paid
Total Claims	27	-20**=	7	X	18	= 126.00
Independent Claims	5	-3**=	2	X	84	= 168.00
Multiple Dependent						=

\*\*or number previously paid, if greater, For Reissues, see below

Large Entity Fee (\$)	Small Entity Fee (\$)	Fee Description
18	9	Claims in excess of 20
84	42	Independent claims in excess of 3
280	140	Multiple dependent claim, if not paid
84	42	**Reissue independent claims over original patent
18	9	**Reissue claims in excess of 20 and over original patent

**SUBTOTAL (2)** \$294.00

### FEE CALCULATION (continued)

#### 3. ADDITIONAL FEES

Large Entity Fee (\$)	Small Entity Fee (\$)	Fee Description	Fee Paid
130	65	Surcharge - late filing fee or oath	
50	25	Surcharge - late provisional filing fee or cover sheet	
130	130	Non-English specification	
2,520	2,520	For filing a request for ex parte reexamination	
920*	920*	Requesting publication of SIR prior to Examiner action	
1,840*	1,840*	Requesting publication of SRI after Examiner action	
110	55	Extension for reply within first month	
400	200	Extension for reply within second month	
920	460	Extension for reply within third month	
1,440	720	Extension for reply within fourth month	
1,960	980	Extension for reply within fifth month	
320	160	Notice of Appeal	
320	160	Filing a brief in support of an appeal	
280	140	Request for oral hearing	
1,510	1,510	Petition to institute a public use proceeding	
110	55	Petition to revive - unavoidable	
1,280	640	Petition to revive - unintentional	
1,280	640	Utility issue fee (or reissue)	
460	230	Design issue fee	
620	310	Plant issue fee	
130	130	Petitions to the Commissioner	
50	50	Processing fee under 37 CFR 1.17(q)	
180	180	Submission of Info Disclosure Stmt	
40	40	Recording each patent assignment per property (times number of properties)	
740	370	Filing a submission after final rejection (37 CFR § 1.129(a))	
740	370	For each additional invention to be examined (37 CFR §1.129(b))	
740	370	Request for Continued Examination	
900	900	Request for expedited examination of a design application	
Other fee (specify)			

\*Reduced by Basic Filing Fee Paid

**SUBTOTAL (3)** (\$)

**SUBMITTED BY** Complete (if applicable)

Name (Print/Type) Carol W. Burton

Registration No. 35,465  
(Attorney/Agent)

Telephone 303.454.2454

Signature

Date Jan. 4, 2002

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application of:

Katsuyoshi MATSUURA, et al.

Serial No.

Filed: January 4, 2002

Title: SEMICONDUCTOR DEVICE HAVING A  
FERROELECTRIC CAPACITOR AND A  
FABRICATION PROCESS THEREOF

Examiner:

Art Unit:

CERTIFICATE OF MAILING BY EXPRESS MAIL

Box Patent Application  
Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

The undersigned hereby certifies that the attached

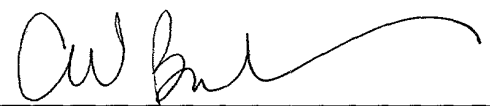
1. Utility Patent Application Transmittal;
2. Copy of Serial No. 09/551,233 (Specification, claims and abstract (43 pages), Drawings (25 sheets) and signed Declaration);
3. Preliminary Amendment;
4. Fee Calculation Sheet and Check for \$1034.00;
5. Information Disclosure Statement and Form 1449;
6. Certificate of Mailing by Express Mail;
7. Return Card,

relating to the above application, were deposited as "Express Mail," Mailing Label No. EL523797895US with the U.S. Postal Service, addressed to Box: Patent Application, Assistant Commissioner for Patents, Washington, D.C. 20231, on January 4, 2002.

January 4, 2002

  
Mailer

January 4, 2002

  
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